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ML

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
09/209,124	12/10/98	FLENLEY	J UK9-98-048

LM01/0302
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EXAMINER

HAYES, J

ART UNIT

PAPER NUMBER

2761

4

DATE MAILED:

03/02/00

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

Office Action Summary

Application No.

09/209,124

Applicant(s)

FLENLEY ET AL.

Examiner

John W Hayes

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).

Status

- 1) ☒ Responsive to communication(s) filed on 10 December 1998.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-14 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-3 is/are rejected.
- 7) ☒ Claim(s) 4-14 is/are objected to.
- 8) ☐ Claims _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 10 December 1998 is/are objected to by the Examiner.
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved.
- 12) ☒ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

- 13) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
- a) ☒ All b) ☐ Some * c) ☐ None of the CERTIFIED copies of the priority documents have been:
1. ☒ received.
2. ☐ received in Application No. (Series Code / Serial Number) _____.
3. ☐ received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. & 119(e).

Attachment(s)

- 14) ☒ Notice of References Cited (PTO-892) ✓
- 15) ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 16) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 3.

- 17) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 18) ☐ Notice of Informal Patent Application (PTO-152)
- 19) ☐ Other: _____

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DETAILED ACTION

Priority

1. Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file.

Oath/Declaration

- ✓ 2. The oath or declaration is defective. A new oath or declaration in compliance with 37 CFR 1.67(a) identifying this application by application number and filing date is required. See MPEP §§ 602.01 and 602.02.

The oath or declaration is defective because: The declaration indicates that there is a sole inventor when there is actually joint inventors.

Drawings

3. The drawings filed on 10o December 1998 are subject to correction of the informalities indicated on the attached "Notice of Draftperson's Patent Drawing Review," PTO-948. In order to avoid abandonment of this application, correction is required.
- ✓ 4. The drawings are objected to under 37 CFR 1.83(a). The drawings must show every feature of the invention specified in the claims. Therefore, the automatic teller machine comprising a processor, memory, screen display, user input means, card reader and storage medium as recited in claim 12 must be shown or the feature(s) canceled from the claim. Also, the numeric keypad, function keys or touch screen as recited in claim 14 must be shown or the feature(s) canceled from the claim. No new matter should be entered.
5. Applicant is required to submit a proposed drawing correction in reply to this Office action. However, formal correction of the noted defect can be deferred until the application is allowed by the examiner.

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Specification

6. The abstract of the disclosure is objected to because the text in line 17 is unclear "the or each application". Correction is required. See MPEP § 608.01(b).
- / 7. The disclosure is objected to because of the following informalities: The text on page 3, line 7 "and the or each application" is unclear. Appropriate correction is required.

Claim Objections

8. Claims 1-4, 7, 11 and 13 are objected to because of the following informalities: The text in the following claims is unclear:
- / Claim 1, line 12 (the or each application)
 - / Claim 2, line 10 (or the or each application), line 15 (the or each filter) and line 17 (and the or each application)
 - / Claim 3, line 2 (the or each filter)
 - / Claim 4, line 2 (the or each filter), line 3 (the or each application), line 4 (the or each application) and line 8 (the or each filter)
 - / Claim 7, line 2 (the or each filter) and line 5 (the or each filter)
 - / Claim 11, line 2 (the or each filter)
 - / Claim 13, line 4 (the or each filter)
- Appropriate correction is required.

Claim Rejections - 35 USC § 102

9. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

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10. Claims 1-3 are rejected under 35 U.S.C. 102(b) as being anticipated by *Saadeh et al*, EP 0520766 A2.

As per claim 1, *Saadeh et al* disclose a "transaction processing system in which a transaction manager is responsive to transaction requests from one or more applications and a service provider layer is adapted to relay transaction requests passed from the transaction manager to associated hardware for execution" (Col. 3, lines 42-58) and a "filter module being adapted to intercept transaction requests from the transaction manager to the service provider layer and to process the requests and to intercept transaction responses from the service provider layer to the transaction manager and to process the responses" (Col. 16 line 25-Col. 17 line 20 and Figure 6).

As per claim 2, *Saadeh et al* disclose a "transaction processing system including a transaction manager running in a first process and responsive to transaction requests from one or more application, a service provider layer... each application" (Col. 3, lines 42-58) and "one or more filter modules... process the responses" (Col. 16 line 25-Col. 17 line 20 and Figure 6).

As per claim 3, *Saadeh et al* further disclose wherein the filter module is adapted to process the requests and responses by recording them in a log (Col. 16 line 25-Col. 17 line 20 and Figure 6).

Allowable Subject Matter

11. Claims 4-14 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

12. The following is a statement of reasons for the indication of allowable subject matter:

As per claim 4, the prior art of record taken either individually or in combination fails to teach or suggest wherein the filter module, transaction manager and application has an associated identifier and wherein the application is adapted to include the identifier of the application or the transaction manager to which transaction responses are to be relayed by the service provider layer in a transaction request and the filter module be adapted to replace the identifier in at least some transaction requests with the

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identifier of the filter module so that responses to the requests from the service provider layer are relayed to the filter module. The specific allowable feature, which distinguishes the present invention over the prior art is the filter module being adapted to replace the identifier with the identifier of the filter module. Claims 5-8 are dependent upon claim 4 and thus have all the limitations of claim 4 and are allowable for that reason.

As per claim 9, the prior art of record taken either individually or in combination fails to teach or suggest a transaction processing system as recited in claim 2 wherein one of the applications is a web browser adapted to run a web application, the web application including one or more web pages. The specific allowable feature, which distinguishes the present invention over the prior art is the combination of a web application with the transaction processing system as recited in claim 2.

As per claim 10, the prior art of record taken either individually or in combination fails to teach or suggest wherein the transaction processing system cooperates with a registry and wherein the service provider is adapted to be registered in the registry and the transaction manager is adapted to call the service provider modules by using information obtained by a lookup process performed on the registry. Claim 11 is dependent upon claim 10 and thus has all the limitations of claim 10 and is allowable for that reason.

As per claim 12, the prior art of record taken either individually or in combination fails to teach or suggest an automatic teller machine specifically including the transaction processing system as recited in claim 2 and the ATM further comprising the elements recited in claim 12. The specific allowable feature, which distinguishes the present invention over the prior art is the combination of a ATM with the transaction processing system as recited in claim 2. Claims 13 and 14 are dependent upon claim 12 and thus have all the limitations of claim 12 and are allowable for that reason.

Conclusion

13. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

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- Grant et al disclose an apparatus for completing a customer initiated ATM transaction and teach a transaction processing system including a transaction manager and a service provider layer
- Burt et al disclose an architecture that includes an operations gateway defined by a number of agents that take responsibility for accomplishing support system related functions including financial transaction functions.
- Watanabe et al disclose a transaction tracing apparatus which conducts transaction processing in an arrangement wherein a server and a plurality of clients are connected via a transmission path in which transmission information is exchanged. The tracing apparatus is comprised of a trace control module and a filter creation module for creating extraction filters and analysis filters to be employed for extraction of specific data.
- Sato et al disclose an ATM including a transaction recording means
- Eaton et al disclose a multi-transaction service system comprising a plurality of service request and supply channels each comprising channel-specific hardware and software and an integrated channel manager arranged to provide multiple interface layers including at least on application service connectable to any channel.

14. Any inquiry concerning this communication or earlier communications from the examiner should be directed to John Hayes whose telephone number is (703)306-5447. The examiner can normally be reached Monday through Friday from 6:30 to 3:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Todd Voeltz, can be reached on (703) 305-9714.

The Fax phone number for the **UNOFFICIAL FAX** for the organization where this application or proceeding is assigned is (703) 305-0040 (for informal or draft communications, please label "PROPOSED" or "DRAFT").

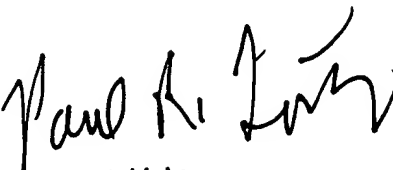
The Fax phone number for the **OFFICIAL FAX** for the organization where this application or proceeding is assigned is (703) 308-9051 or 9052 (for formal communications intended for entry).

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

Jwh

18 February 2000



Paul R. Lintz
Primary Examiner